

# **EXHIBIT 1**

NASD DISPUTE RESOLUTION, INC.

ARBITRATION NO: 06-05183

August 7, 2007

Tapes 3 - 5

LINDA HALE,

VS.

OPTIONSXPRESS, INC.

APPEARANCES BY:

On behalf of the Claimants:

Neil B. Solomon, Esq.  
(Neil B. Solomon, P.A.)

On behalf of the Respondent:

Hillary Victor, Esq.  
Jeffrey Henderson, Esq.

Panel Members:

Kevin S. Doty, Esq., Chairperson  
Allen Robin, Public Arbitrator  
Bernard A. Taub, Industry Arbitrator

G & L TRANSCRIPTION, INC.  
4801 NORTHWEST 27<sup>TH</sup> AVENUE  
BOCA RATON, FLORIDA 33434

(561) 998-1981

1 activity?

2 A Yes.

3 Q I'd like you to refer to Respondent's Exhibit 2,  
4 Volume I.

5 CHAIRMAN DOTY: For the record, while you're looking  
6 at that, your Number 32 was admitted recognizing that  
7 there is a stipulation that Rule 9.9 is not applicable to  
8 these proceedings.

9 Q I'm sorry, we've covered this --

10 A Okay.

11 Q Please refer to Exhibit 4.

12 CHAIRMAN DOTY: Is that Respondent's 4?

13 Q I'm sorry, Respondent's 4, Volume 1.  
14 Is this an OptionsXpress document?

15 A This is a document that was created from query,  
16 yes.

17 Q What -- does it appear to take?

18 A The entries -- account, and it tells the account  
19 ID, that's person ID, the IP address for the entries of  
20 the account -- and the date.

21 Q Is this for a particular customer account?

22 A Yes.

23 Q Do you know which customer?

24 A --

25 Q Particular person, not a customer? IP --